



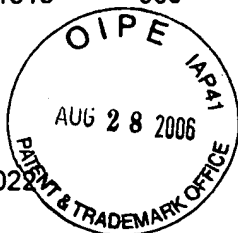
## UNITED STATES PATENT AND TRADEMARK OFFICE

UNITED STATES DEPARTMENT OF COMMERCE  
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APPL NO.	FILING OR 371 (c) DATE	ART UNIT	FIL FEE REC'D	ATTY. DOCKET NO	DRAWINGS	TOT CLMS	IND CLMS
10/563,685	01/06/2006	1618	900	06275-488US1 101141-1P US	15	20	1

26164

FISH & RICHARDSON P.C.  
P.O. BOX 1022  
MINNEAPOLIS, MN 55440-1022



CONFIRMATION NO. 3266

## FILING RECEIPT

\*OC000000018802058\*

Date Mailed: 05/17/2006

Receipt is acknowledged of this regular Patent Application. It will be considered in its order and you will be notified as to the results of the examination. Be sure to provide the U.S. APPLICATION NUMBER, FILING DATE, NAME OF APPLICANT, and TITLE OF INVENTION when inquiring about this application. Fees transmitted by check or draft are subject to collection. Please verify the accuracy of the data presented on this receipt. If an error is noted on this Filing Receipt, please mail to the Commissioner for Patents P.O. Box 1450 Alexandria Va 22313-1450. Please provide a copy of this Filing Receipt with the changes noted thereon. If you received a "Notice to File Missing Parts" for this application, please submit any corrections to this Filing Receipt with your reply to the Notice. When the USPTO processes the reply to the Notice, the USPTO will generate another Filing Receipt incorporating the requested corrections (if appropriate).

## Applicant(s)

Philippe Rogueda, Leicester, UNITED KINGDOM;

**Power of Attorney:** The patent practitioners associated with Customer Number 26164.

## Domestic Priority data as claimed by applicant

This application is a 371 of PCT/GB04/02882 07/05/2004

## Foreign Applications

SWEDEN 0302029-4 07/07/2003

## Acceptable Request to Retrieve Priority Application Received?

NO

If Required, Foreign Filing License Granted: 05/15/2006

The country code and number of your priority application, to be used for filing abroad under the Paris Convention, is **US10/563,685**

Projected Publication Date: 08/24/2006

Non-Publication Request: No

Early Publication Request: No

Title      *Process for the preparation of micron-size crystalline particles using a solvent, a non-solvent  
 and ultrasonic energy*  
~~Novel process~~

Preliminary Class  
 424

## PROTECTING YOUR INVENTION OUTSIDE THE UNITED STATES

Since the rights granted by a U.S. patent extend only throughout the territory of the United States and have no effect in a foreign country, an inventor who wishes patent protection in another country must apply for a patent in a specific country or in regional patent offices. Applicants may wish to consider the filing of an international application under the Patent Cooperation Treaty (PCT). An international (PCT) application generally has the same effect as a regular national patent application in each PCT-member country. The PCT process **simplifies** the filing of patent applications on the same invention in member countries, but **does not result** in a grant of "an international patent" and does not eliminate the need of applicants to file additional documents and fees in countries where patent protection is desired.

Almost every country has its own patent law, and a person desiring a patent in a particular country must make an application for patent in that country in accordance with its particular laws. Since the laws of many countries differ in various respects from the patent law of the United States, applicants are advised to seek guidance from specific foreign countries to ensure that patent rights are not lost prematurely.

Applicants also are advised that in the case of inventions made in the United States, the Director of the USPTO must issue a license before applicants can apply for a patent in a foreign country. The filing of a U.S. patent application serves as a request for a foreign filing license. The application's filing receipt contains further information and guidance as to the status of applicant's license for foreign filing.

Applicants may wish to consult the USPTO booklet, "General Information Concerning Patents" (specifically, the section entitled "Treaties and Foreign Patents") for more information on timeframes and deadlines for filing foreign patent applications. The guide is available either by contacting the USPTO Contact Center at 800-786-9199, or it can be viewed on the USPTO website at <http://www.uspto.gov/web/offices/pac/doc/general/index.html>.

For information on preventing theft of your intellectual property (patents, trademarks and copyrights), you may wish to consult the U.S. Government website, <http://www.stopfakes.gov>. Part of a Department of Commerce initiative, this website includes self-help "toolkits" giving innovators guidance on how to protect intellectual property in specific countries such as China, Korea and Mexico. For questions regarding patent enforcement issues, applicants may call the U.S. Government hotline at 1-866-999-HALT (1-866-999-4158).

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### LICENSE FOR FOREIGN FILING UNDER Title 35, United States Code, Section 184 Title 37, Code of Federal Regulations, 5.11 & 5.15

#### GRANTED

The applicant has been granted a license under 35 U.S.C. 184, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" followed by a date appears on this form. Such licenses are issued in all applications where the conditions for issuance of a license have been met, regardless of whether or not a license may be required as set forth in 37 CFR 5.15. The scope and limitations of this license are set forth in 37 CFR 5.15(a) unless an earlier license has been issued under 37 CFR 5.15(b). The license is subject to revocation upon written notification. The date indicated is the effective date of the license, unless an earlier license of similar scope has been granted under 37 CFR 5.13 or 5.14.

This license is to be retained by the licensee and may be used at any time on or after the effective date thereof

unless it is revoked. This license is automatically transferred to any related applications(s) filed under 37 CFR 1.53(d). This license is not retroactive.

The grant of a license does not in any way lessen the responsibility of a licensee for the security of the subject matter as imposed by any Government contract or the provisions of existing laws relating to espionage and the national security or the export of technical data. Licensees should apprise themselves of current regulations especially with respect to certain countries, of other agencies, particularly the Office of Defense Trade Controls, Department of State (with respect to Arms, Munitions and Implements of War (22 CFR 121-128)); the Bureau of Industry and Security, Department of Commerce (15 CFR parts 730-774); the Office of Foreign Assets Control, Department of Treasury (31 CFR Parts 500+) and the Department of Energy.

#### **NOT GRANTED**

No license under 35 U.S.C. 184 has been granted at this time, if the phrase "IF REQUIRED, FOREIGN FILING LICENSE GRANTED" DOES NOT appear on this form. Applicant may still petition for a license under 37 CFR 5.12, if a license is desired before the expiration of 6 months from the filing date of the application. If 6 months has lapsed from the filing date of this application and the licensee has not received any indication of a secrecy order under 35 U.S.C. 181, the licensee may foreign file the application pursuant to 37 CFR 5.15(b).



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Philippe Rogueda  
Serial No. : 10/563,685  
Filed : January 6, 2006  
Title : PROCESS FOR THE PREPARATION OF MICRON-SIZE CRYSTALLINE PARTICLES USING A SOLVENT, A NON-SOLVENT AND ULTRASONIC ENERGY  
Art Unit : Unknown  
Examiner : Unknown  
Conf. No. : 3266

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

REQUEST FOR CORRECTED OFFICIAL FILING RECEIPT

Please correct the title of the above-referenced application from "Novel Process" to "**Process for the Preparation of Micron-Size Crystalline Particles Using a Solvent, a Non-Solvent and Ultrasonic Energy**".

The error was made by the U.S. Patent and Trademark Office as evidenced by the Preliminary Amendment, Combined Declaration and Power of Attorney, and Transmittal Letter filed on January 6, 2006 (copies attached).

Please supply a corrected Filing Receipt to the undersigned with respect to this application. A copy of the original Filing Receipt showing the desired change in red ink is attached for your convenience.

No fee is believed to be due. If, however, there are any charges or credits, please apply them to Deposit Account No. 06-1050, referencing Attorney Docket No. 06275-488US1.

Respectfully submitted,

Date:

August 22, 2006

Catherine M. McEntee Reg. No. 54,301  
Janis K. Fraser, Ph.D., J.D.  
Reg. No. 34,819

Fish & Richardson P.C.  
225 Franklin Street  
Boston, MA 02110  
Telephone: (617) 542-5070  
Facsimile: (617) 542-8906  
21405852.doc

CERTIFICATE OF MAILING BY FIRST CLASS MAIL

I hereby certify under 37 CFR §1.8(a) that this correspondence is being deposited with the United States Postal Service as first class mail with sufficient postage on the date indicated below and is addressed to the Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

Date of Deposit

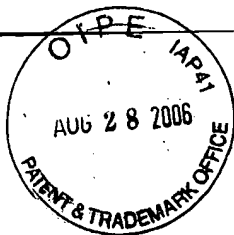
August 23, 2006

Signature

Cassandra Chu

Typed or Printed Name of Person Signing Certificate

Cassandra Chu



Attorney's Docket No.: 06275-488US1 / 101141-1P US

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicant : Philippe Rogueda

Art Unit : Unknown

Serial No. : To Be Assigned

Examiner : Unknown

Filed : Herewith

Title : PROCESS FOR THE PREPARATION OF MICRON-SIZE CRYSTALLINE  
PARTICLES USING A SOLVENT, A NON-SOLVENT AND ULTRASONIC  
ENERGY

**MAIL STOP PCT**

Commissioner for Patents

P.O. Box 1450

Alexandria, VA 22313-1450

**PRELIMINARY AMENDMENT**

Prior to examination, please amend the application as indicated on the following pages.

CERTIFICATE OF MAILING BY EXPRESS MAIL

Express Mail Label No. EV 664075056 US

January 6, 2006  
Date of Deposit

Applicant : Philippe Rogueda  
Serial No. : To Be Assigned  
Filed : Herewith  
Page : 2 of 6

Attorney's Docket No.: 06275-488US1 / 101141-1P US

Amendments to the Specification:

Please replace the existing title with the following title:

PROCESS FOR THE PREPARATION OF MICRON-SIZE CRYSTALLINE PARTICLES  
USING A SOLVENT, A NON-SOLVENT AND ULTRASONIC ENERGY

Please insert the following paragraph after the title:

CROSS-REFERENCE TO RELATED APPLICATIONS

This application is a national phase application under 35 U.S.C. § 371 of PCT  
International Application No. PCT/GB2004/002882, filed July 5, 2004, which claims priority to  
Swedish Application Serial No. 0302029-4, filed July 7, 2003.



101141-1P US

**COMBINED DECLARATION AND POWER OF ATTORNEY**

As a below-named inventor, I hereby declare that:

My residence, post office address and citizenship are as stated next to my name.

I believe I am the original, first and sole inventor (if only one name is listed below) or an original, first and joint inventor (if plural names are listed below) of the subject matter that is claimed and for which a patent is sought on the invention entitled:

**PROCESS FOR THE PREPARATION OF MICRON-SIZE CRYSTALLINE PARTICLES USING A SOLVENT,  
A NON-SOLVENT AND ULTRASONIC ENERGY**

the specification of which:

- ☐ is attached hereto.
- OR**
- ☐ was filed on \_\_\_\_\_ with Express Mail No. \_\_\_\_\_ (Application Number not yet known).
- OR**
- ☒ was filed on 05 July 2004 (05.07.2004) as United States Application Number or PCT International Application Number PCT/GB2004/002882 and was amended on \_\_\_\_\_ (if applicable).

I hereby state that I have reviewed and understand the contents of the above-identified specification, including the claims, as amended by any amendment referred to above.

I acknowledge the duty to disclose information which is material to patentability as defined in 37 CFR §1.56.

I hereby claim the benefit under Title 35, United States Code, §119(e)(1) of any United States provisional application(s) listed below:

<u>U.S. Serial No.</u>	<u>Filing Date</u>	<u>Status</u>
------------------------	--------------------	---------------

I hereby claim the benefit under Title 35, United States Code, §120 of any United States application(s), or §365(c) of any PCT International application designating the United States, listed below and, insofar as the subject matter of each of the claims of this application is not disclosed in the prior United States application or PCT International application in the manner provided by the first paragraph of Title 35, United States Code, §112, I acknowledge the duty to disclose all information I know to be material to patentability as defined in Title 37, Code of Federal Regulations, §1.56(a) which became available between the filing date of the prior application and the national or PCT international filing date of this application:

<u>U.S. Serial No.</u>	<u>Filing Date</u>	<u>Status</u>
------------------------	--------------------	---------------

I hereby claim foreign priority benefits under Title 35, United States Code, §119(a)-(d) or §365(b) of any foreign application(s) for patent or inventor's certificate, or §365(a) of any PCT International application designating at least one country other than the United States of America, listed below and have also identified below, by checking the box, any foreign application for patent or inventor's certificate or any PCT international application(s) designating at least one country other than the United States of America filed by me on the same subject matter having a filing date before that of the application(s) of which priority is claimed:

Country	Application No.	Filing Date	Priority Claimed
SE	0302029-4	07 July 2003 (07.07.2003)	<input checked="" type="checkbox"/> Yes <input type="checkbox"/> No

I hereby appoint all registered practitioners associated with Customer Number 26164 to prosecute this application and to transact all business in the Patent and Trademark Office connected therewith, and direct that all correspondence be addressed to:

**Customer Number 26164**

Direct all telephone calls to JANIS K. FRASER, Ph.D., J.D., Reg. No. 34,819, at telephone number (617) 542-5070.

I hereby declare that all statements made herein of my own knowledge are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imprisonment, or both, under Section 1001 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any patent issued thereon.

Full Name of Inventor: **ROGUEDA, Philippe**

Inventor's Signature:

*R. Rogueda*

Date:

5 Dec 2005

Residence Address:

Loughborough, United Kingdom

Citizenship:

FR

Post Office Address:

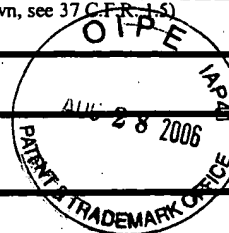
AstraZeneca R&D Charnwood, Bakewell Road, Loughborough, Leicester, LE11 5RH,  
United Kingdom



**TRANSMITTAL LETTER TO THE UNITED STATES  
DESIGNATED/ELECTED OFFICE (DO/EO/US)  
CONCERNING A SUBMISSION UNDER 35 U.S.C. 371**

ATTORNEY'S DOCKET NUMBER  
06275-488US1 101141-1P US

U.S. APPLICATION NO. (If known, see 37 C.F.R. 1.5)



INTERNATIONAL APPLICATION NO.  
PCT/GB2004/002882

INTERNATIONAL FILING DATE  
5 July 2004

PRIORITY DATE CLAIMED  
7 July 2003

**TITLE OF INVENTION**

Process for the Preparation of Micron-Size Crystalline Particles Using a Solvent, a Non-Solvent and Ultrasonic Energy

**APPLICANT(S) FOR DO/EO/US**

Philippe Rogueda

Applicant herewith submits to the United States Designated/Elected Office (DO/EO/US) the following items and other information:

1. ☒ This is a **FIRST** submission of items concerning a submission under 35 U.S.C. 371.
2. ☐ This is a **SECOND** or **SUBSEQUENT** submission of items concerning a submission under 35 U.S.C. 371.
3. ☒ This is an express request to begin national examination procedures (35 U.S.C. 371(f)). The submission must include items (5), (6), (9) and (21) indicated below.
4. ☒ The US has been elected (Article 31).
5. ☒ A copy of the International Application as filed (35 U.S.C. 371(c)(2))
  - a. ☒ is attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ has been communicated by the International Bureau.
  - c. ☐ is not required, as the application was filed in the United States Receiving Office (RO/US).
6. ☐ An English language translation of the International Application as filed (35 U.S.C. 371(c)(2)).
  - a. ☐ is attached hereto.
  - b. ☐ has been previously submitted under 35 U.S.C. 154(d)(4).
7. ☒ Amendments to the claims of the International Application under PCT Article 19 (35 U.S.C. 371(c)(3))
  - a. ☐ are attached hereto (required only if not communicated by the International Bureau).
  - b. ☐ have been communicated by the International Bureau.
  - c. ☐ have not been made; however, the time limit for making such amendments has NOT expired.
  - d. ☒ have not been made and will not be made.
8. ☐ An English language translation of amendments to the claims under PCT Article 19 (35 U.S.C. 371(c)(3)).
9. ☒ An oath or declaration of the inventor(s) (35 U.S.C. 371(c)(4)).
10. ☐ An English language translation of the annexes to the International Preliminary Examination Report under PCT Article 36 (35 U.S.C. 371(c)(5)).

**Items 11 to 20 below concern document(s) or information included:**

11. ☒ An Information Disclosure Statement under 37 C.F.R. 1.97 and 1.98.
12. ☒ An assignment document for recording. A separate cover sheet in compliance with 37 C.F.R. 3.28 and 3.31 is included.
13. ☒ A preliminary amendment.
14. ☐ An Application Data Sheet under 37 C.F.R. 1.76.
15. ☐ A substitute specification.
16. ☐ A power of attorney and/or change of address letter.
17. ☐ A computer-readable form of the sequence listing in accordance with PCT Rule 13ter.2 and 37 C.F.R. 1.821 - 1.825.
18. ☐ A second copy of the published international application under 35 U.S.C. 154(d)(4).
19. ☐ A second copy of the English language translation of the international application under 35 U.S.C. 154(d)(4).

**CERTIFICATE OF MAILING BY EXPRESS MAIL**  
Express Mail Label No. EV 664075056 US  
Date of Deposit: January 6, 2006

U.S. APPLICATION NO. (if known, see 37 C.F.R. 1.5)		INTERNATIONAL APPLICATION NO. PCT/GB2004/002882		ATTORNEY'S DOCKET NUMBER 06275-488US1	
20. Other items or information: Copies of the published International Application; International Preliminary Report on Patentability					
The following fees have been submitted				CALCULATIONS PTO USE ONLY	
21. <input checked="" type="checkbox"/> Basic national fee (37 CFR 1.192(a))..... \$300				\$300.00	
22. <input checked="" type="checkbox"/> Examination fee (37 CFR 1.492(c)) If the written opinion prepared by ISA/US or the international preliminary examination report prepared by the IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0 All other situations..... \$200				\$200.00	
23. <input checked="" type="checkbox"/> Search fee (37 CFR 1.92(b)) If the written opinion of the ISA/US or the international preliminary examination report prepared by IPEA/US indicates all claims satisfy provisions of PCT Article 33(1)-(4)..... \$0 Search fee (37 CFR 1.445(a)(2)) has been paid on the international application to the USPTO as an International Searching Authority ..... \$100 International Search Report prepared by an ISA other than the US and provided to the Office or previously communicated to the US by the IB ..... \$400 All other situations..... \$500				\$400.00	
<b>Total of 21, 22 and 23 =</b>				<b>\$900.00</b>	
<input type="checkbox"/> Additional fee for specification and drawings filed in paper over 100 sheets (excluding sequence listing in compliance with 37 CFR 1.821(c) or (e) or computer program listing filed in an electronic medium) (37 CFR 1.492(j)). The fee is \$250 for each additional 50 sheets of paper or fraction thereof.					
Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof (round up to a whole number)	RATE		
-100 =	/50 =		X \$250	\$0.00	
Surcharge of \$130 for furnishing any of the search fee, examination fee, or the oath or declaration after the date of commencement of the national stage (37 C.F.R. 1.492(h)).				\$0.00	
CLAIMS	NUMBER FILED	NUMBER EXTRA	RATE		
Total Claims	20 - 20 =	0	x \$50	\$0.00	
Independent Claims	1 - 3 =	0	x \$200	\$0.00	
MULTIPLE DEPENDENT CLAIM(S) (if applicable)			+ \$360	\$0.00	
<b>TOTAL OF ABOVE CALCULATIONS =</b>				<b>\$900.00</b>	
<input type="checkbox"/> Applicant claims small entity status. See 37 C.F.R. 1.27. Fees above are reduced by 1/2.				\$0.00	
<b>SUBTOTAL =</b>				<b>\$900.00</b>	
Processing fee of \$130 for furnishing the English translation later than 30 months from the earliest claimed priority date (37 C.F.R. 1.492(i))				\$0.00	
<b>TOTAL NATIONAL FEE =</b>				<b>\$900.00</b>	
Fee for recording the enclosed assignment (37 C.F.R. 1.21(h)). The assignment must be accompanied by an appropriate cover sheet (37 C.F.R. 3.28, 3.31). \$40.00 per property				\$40.00	
<b>TOTAL FEES ENCLOSED =</b>				<b>\$940.00</b>	
				Amount to be refunded:	\$0.00
				Amount to be charged:	\$0.00

- a. ☒ A check in the amount of \$940.00 to cover the above fees is enclosed.
- b. ☐ Please charge my Deposit Account No. 06-1050 in the amount of \$0.00 to cover the above fees.  
A duplicate copy of this sheet is enclosed.
- c. ☒ The Commissioner is hereby authorized to charge any additional fees which may be required, or credit any overpayment to Deposit Account No. 06-1050. A duplicate copy of this sheet is enclosed.
- d. ☐ Fees are to be charged to a credit card. **WARNING:** Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

**NOTE:** Where an appropriate time limit under 37 C.F.R. 1.495 has not been met, a petition to revive (37 C.F.R. 1.137(a) or (b) must be filed and granted to restore the International Application to pending status.

SEND ALL CORRESPONDENCE TO:

PTO Customer No: 26164

SIGNATURE

Janis K. Fraser, Ph.D., J.D.

NAME

34,819

REGISTRATION NUMBER

21237548.doc